

**State of California
California High-Speed Rail Authority (CHSRA)
Request for Qualifications Notice
Caltrain Corridor – San Francisco to San Jose
Environmental/Engineering Work**

Number HSR08-04

Special Note: Address all questions concerning this Request for Qualifications (RFQ) in writing to the attention of Dan Leavitt at dleavitt@hsr.ca.gov or by fax (916) 322-0827.

Persons intending to submit Statements of Qualifications for this contract may not contact or discuss any items related to this process with any board members or CHSRA staff. All questions or communications related to this contract shall be addressed to Mr. Leavitt, through letter, fax, or email. All questions and responses from the CHSRA will be posted on the CHSRA website at www.cahighspeedrail.ca.gov for the benefit of all participants.

The integrity of the selection process is of the utmost importance to the CHSRA. Failure to comply with the stated process will most likely result in disqualification.

I. GENERAL INFORMATION

- A. The State of California, California High-Speed Rail Authority (CHSRA) is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for Caltrain Corridor: San Francisco to San Jose Environmental/Engineering Work.
- B. The estimated contract amount has not been determined. For guidance on estimated cost of the preliminary engineering and project-specific environmental work refer to page 30 of “A Blueprint for Building California’s High-Speed Train” available on the CHSRA’s website.
- C. The estimated contract terms are 5 years.
- D.** A bidders conference will not be held. Questions regarding this Request for Qualifications must be submitted in writing. Only those written questions received by 4:00 PM on July 18, 2008 will be answered.
- E. Interviews will be held in Sacramento, CA during the week of August 25, 2008. Confirmation letters will be sent to those firms short-listed.

Key RFQ Dates:

7/09/08	CHSRA board ratifies and authorizes the RFQ
7/10/08	RFQ advertised and released on the State Contract Register
7/18/06	Written questions due to CHSRA office by 4:00 PM
8/12/08	SOQs due to CHSRA office by 4:00 PM
8/19/08	Short-list published
Week of 8/25/08	Oral interviews in Sacramento, CA
9/02/08	Participants notified of the results for the selection process
TBA	Contract Negotiations

II. SUBMISSION OF SOQ

SOQ – (60 page limit/not including resumes)

- **Transmittal Letter** – The prime consultant transmittal letter is limited to three (3) pages. Please list all the subconsultants with a best estimate (percentage) of utilization for each firm. An individual authorized to obligate the firm or joint venture must sign the prime's transmittal letter. The signatures affixed to and dated on the prime and subconsultant transmittal letters shall constitute a certification under penalty of perjury under the laws of the State of California that the proposer has, unless exempted, complied with State nondiscrimination program requirements (see Nondiscrimination under Section VIII Miscellaneous). An unsigned transmittal letter or one signed by an individual not authorized to bind the proposer will be rejected.

Each subconsultant transmittal letter is limited to one (1) page, and shall state its commitment to the prime consultants firm, indicating the specific portion of the work to be performed by its firm. The person signing the transmittal letter must be authorized to obligate the subconsultant's firm.

The prime consultant shall provide a contact name, email address, phone and fax numbers to which correspondence can be sent.

The prime's authorized representatives signature on the transmittal letter certifies that the information contained in the SOQ is truthful, accurate, and complete at time of submittal.

- **Project Understanding with delineation of Success Factors** - Provide a brief description of the proposed work program to perform the work defined in the "Scope of Work" (Section V).
- **Organization Philosophy and Organization Chart**
- **Identification of Key Personnel**
- **Qualifications to Undertake Assignment**
- **Project Summaries** - Representative Project Summaries for Similar Work performed in last five years (scope, duration, professional fees, construction value, awards/recognition received, key personnel involved, lessons learned)
- **References** - A list of five references (for each firm) for projects recently completed with at least three from the projects cited above.
- **Financial Responsibility**

SOQ Package Submittal Instructions

- Seven (7) hard copies plus one (1) electronic copy of the SOQ containing all the indicated information shall be submitted. Fax copies will not be allowed. SOQs will be accepted until 4:00 p.m. Pacific Time on August 12, 2008, and must be directed to:

State of California
California High-Speed Rail CHSRA
925 L Street, Suite 1425
Sacramento, CA 95814
Attention: Dan Leavitt
Telephone: (916) 322-1397

- The SOQs must be submitted in a sealed package labeled as follows:
 - RFQ Number HSR08-0002
 - Submittal Deadline 4:00 p.m. on August 12, 2008
 - “DO NOT OPEN”

III. INTRODUCTION

The CHSRA is soliciting SOQs from FIRMS interested in providing professional environmental/engineering services for the Caltrain Corridor: San Francisco to San Jose. This work includes preparing analyses for one or more site-specific environmental impact report (EIR)/environmental impact statement (EIS) for the high-speed train corridor linking San Francisco and San Jose via the Caltrain Corridor. The FIRM is responsible for developing engineering designs to at least 30%, facility and station area planning, developing environmental data, preparing the site-specific EIR/EIS document(s), and providing right-of-way preservation and acquisition services. The FIRM must therefore develop a work program to prepare environmental studies and analyses that will be used to satisfy both the state and federal requirements. The California High-Speed Rail CHSRA (CHSRA) will be the lead state agency, and the Federal Railroad Administration (FRA) will be the lead federal agency.

IV. BACKGROUND

Implementing a high-speed train network in California is the sole and exclusive responsibility of the California High-Speed Rail CHSRA (CHSRA) established pursuant to Chapter 796 of the Statutes of 1996 (Senate Bill 1420, Kopp and Costa) with a nine-member governing board. (Ca. Public Utilities Code, section 185,000 et seq.) The CHSRA is responsible for preparing a plan and design for the HST system, conducting environmental studies and obtaining necessary permits, and undertaking the construction and operation of a high-speed train passenger network in California.

The CHSRA, in cooperation with the FRA, has completed and certified a program level environmental document for a high-speed train (HST) network about 800 miles long which connects the major metropolitan areas of the state. The proposed HST system stretches from San Francisco, Oakland and Sacramento in the north –the Central Valley with service throughout -- to Los Angeles, the Inland Empire, Orange County, and San Diego in the south. With electrified, steel-wheel-on-steel rail trains operating at speeds up to 220 mph, the express travel time from

downtown San Francisco to Los Angeles will be about 2½ hours. The HST system is being designed to connect with existing rail, air and highway systems. The system is forecast to carry between 93 – 117 million passengers per year by 2030. Initial bond funding for HST system construction is proposed for authorization by the voters in 2008.

The CHSRA's certified "Bay Area to Central Valley HST Program EIR/EIS" (July 9, 2008) selected the Pacheco Pass to San Francisco via San Jose and the San Francisco Peninsula (Caltrain Corridor) as the route for the HST system between the Central Valley and San Francisco Bay Area. Between San Francisco and San Jose the selected alternative assumes shared infrastructure and right-of-way with Caltrain commuter rail service and potential HST stations at the Transbay Transit Center, Millbrae, Redwood City or Palo Alto, and Diridon Station (San Jose).

The implementation of a HST project is a significant undertaking that requires expert contractor assistance to serve as advisors, managers and consultants to CHSRA technical staff. CHSRA will utilize the services of a Program Management Consultant (PM) to assist CHSRA in implementing a HST project. The PM, in conjunction with lead CHSRA staff, will assist in the oversight and completion of all ongoing and future work associated with the management and planning of the HST project.

"The Caltrain Corridor – San Francisco to San Jose Environmental/Engineering Work" will be one in a series of similar CHSRA contracts. These contracts include the PM, a financing plan consultant, and a number of "regional environmental/engineering" contracts for professional services.

The CHSRA board members will be responsible for making the critical decisions required during the project EIR/EIS process. The CHSRA staff is responsible for recommending appropriate courses of action to the members. The role of the FIRM is to provide objective information and analyses in order to assist the CHSRA decision-making process.

The FIRM is prohibited from having an interest in the outcome of the Work in accordance with regulations of the Council on Environmental Quality (CEQ (40 CFR 1506.5(c)) and there shall be no agreement for the duration of this contract between the FIRM and any other party regarding future employment that is contingent upon FIRM performance of the Work. It is understood that the FIRM has not done and will not undertake for the duration of this contract any environmental analysis related to the HST project for any interested party other than the CHSRA, High-Speed Rail Commission, and FRA, unless sanctioned by the CHSRA.

V. SCOPE OF WORK

This Request for Qualifications (RFQ) solicits Statements of Qualifications (SOQs) for the Caltrain Corridor: San Francisco to San Jose Environmental/Engineering Work (WORK). The focus of this work will be on the Caltrain Corridor identified in the CHSRA's and FRA's certified Bay Area to Central Valley HST Program EIR/EIS (July 9, 2008). The FIRM is responsible for developing engineering, planning, environmental data, preparing one or more project site-specific EIR/EIS document(s) for this HST project, and for providing right-of-way preservation and acquisition services in this corridor. The project EIR/EIS(s) will include

engineering and environmental impact analyses of the HST line and facilities, station development, and connections with other modes of transportation. EIR/EIS process(es) will include the involvement of the public, interested groups, and local, state, and federal agencies with approval or permit responsibilities. The FIRM must develop a work program to prepare environmental studies and analyses that will be used to satisfy both the state and federal requirements. The CHSRA will be the lead state agency, and the FRA will be the lead federal agency.

The FIRM's technical expertise must be sufficient to satisfy the CHSRA's fiduciary and public responsibilities. The FIRM must demonstrate extensive knowledge and direct experience with the environmental processes as prescribed in the National Environmental Policy Act (NEPA) and the California Environmental Quality Act (CEQA). The FIRM must have the necessary expertise in: all relevant areas of environmental analysis; HST and commuter rail infrastructure design; civil engineering in the State of California; HST and commuter rail capital and operational cost estimating; freight and passenger rail operations; agency coordination in California; land use planning and regulation; right-of-way preservation and acquisition; and public involvement and outreach programs in order to carry out this WORK.

A public involvement program is part of this contract and will be a part of EIR/EIS process(es) focusing on identification of issues and concerns. Key responsibilities of the FIRM include developing environmental and engineering analyses and implementing a regional public and agency involvement process to assist in identifying issues and concerns in the study area.

In response to this RFQ, the FIRM must submit a work plan. The work plan shall include a proposed approach, management plan, schedule, components and key personnel. Once this contract has been awarded, staff will work with the selected FIRM to revise the work plan and submit it to the CHSRA for approval.

Caltrain Corridor – San Francisco to San Jose “Work Plan” Elements:

In the work plan, bidders should address, but are not limited to:

- Project Management Plan
- Public Participation Program
- Project Definition and Alternatives Analysis
- Preliminary Engineering
- Environmental Impact Analysis
- Station Area Development Planning
- Draft Project EIR/EIS Documents
- Final Project EIR/EIS Documents
- Certification of EIR and Preparation of ROD for EIS
- Permitting and Rights-of-Way Preservation and Acquisition Services

1. Project Management Plan

The Work Plan should identify key personnel, coordination of work activities and sub-consultants and an integrated approach to managing the work effort to control schedule, budget and project quality. Prior to diverting and/or substituting any specified key personnel,

the FIRM shall be required to explain and justify the change to the CHSRA in writing and the CHSRA reserves the right to disallow the proposed substituting individual(s).

The FIRM should prepare a schedule for completion of work task, deliverables, key meetings (such as presentations to the CHSRA board) and project milestones. The Project Management Plan must also ensure that the WORK is being undertaken in a technically correct manner that is acceptable to the CHSRA and FRA, as well as other federal, state, regional and local agencies. The schedule should allow sufficient time for necessary reviews and approvals and circulation periods. The FIRM will be responsible for delivering a legally sufficient environmental document and ensuring that the progress of the project is properly reported and documented.

The PM will be responsible for supervising and directing the work of the FIRM. The PM provides continuity throughout the project evolution and is responsible for monitoring, directing and coordinating all aspects of the statewide HST program. The FIRM's project manager will report to the PM.

The FIRM should designate its own office, or an office of one of the team's subconsultants in the San Francisco Bay Area, that can serve as a "Project Office". The Project Office can serve as a meeting site for project team meetings and should include access to a large conference room and a spare office for the PM. Considering that the selected alternative utilizes Caltrain right-of-way and shares tracks with express Caltrain commuter rail services, communications, coordination, and partnership with Caltrain JPB/Samtrans is essential to this WORK.

2. Public Participation Program

The FIRM is responsible for developing and implementing a public involvement program focused on identifying regional and local issues and concerns of the potential impacts of HST system and for proposing necessary mitigation measures. A key to the success of the FIRM will be their ability to effectively work with the communities within the study region, affected agencies and interested parties (including Caltrain JPB, Samtrans, MTC, San Mateo County Transportation Authority, Caltrans, BART, Muni, SFTA, Transbay Transit Center JPB, and the VTA).

The FIRM must develop and carry out a detailed public participation plan that includes seeking comments from the general public, interested parties and organizations and responsible agencies (federal, state, regional, and local) regarding alignment, station location, environmental impact, and potential mitigation measures. The FIRM will facilitate participation from regulatory and responsible agencies (including resource agency meetings) and assist the CHSRA in establishing Memoranda of Understandings (MOUs) with those agencies where appropriate.

The Work Plan should identify specific methods to be used to encourage participation, group facilitation, and dispute resolution, as well as encourage as much interaction with the communities as possible. The FIRM should suggest an anticipated number of meetings, presentations, and hearings and the appropriate timing for key events relating to major

milestones and decision-making points in the process. The Work Program will include participating in selected CHSRA board meetings, agency coordination meetings (environmental agencies working group, transportation agencies working group, and local agencies working group), organizing technical advisory committee and community meetings, convening of public meetings/workshops/ hearings – including all forums required as part of the EIR/EIS process(es). The FIRM will be responsible for preparing public hearing/meeting packets, presentations and display materials. The FIRM will be responsible for the appropriate documentation of all meetings and forums and preparing a Final Report(s) summarizing the activities and results of the Public Participation Program.

The FIRM will be responsible for creating and maintaining all stakeholder and agency databases needed to support the WORK and the EIR/EIS process(es). Mailing lists for the WORK would include potentially affected property owners, local elected officials, neighborhood groups, civic groups, professional organizations, business organizations, private and public transit operators, major institutions, transportation advocacy groups, environmental organizations, any local, regional, state and federal agencies and other interested parties. The CHSRA's stakeholder databases will be made available to the FIRM after the selection process has been completed.

The FIRM will be responsible for setting up and securing meeting sites and all equipment needed for meetings and advertising for meetings. To as great an extent possible the FIRM (with the assistance of the CHSRA) will work with local and regional agencies to utilize public facilities without charge. The FIRM must also work with other agencies and organizations to get their assistance in helping to publicize meetings.

The FIRM will be responsible for providing appropriate information and electronic documents to put on the CHSRA and FRA websites, including a "Most Commonly Asked Questions" Document.

3. Project Definition and Alternatives Analysis

The Caltrain Corridor has been evaluated for a number of years by the California Intercity High-Speed Rail Commission (1993-1996) and the CHSRA. Within this corridor, Caltrain JPB currently operates commuter rail service, and there is some freight operated. Caltrain JPB is considering enhancements to portions of the rail line over which existing services operate to improve existing services in a manner that could preserve the right-of-way and lay the foundation for future HST service in this corridor.

The FIRM will review existing studies, plans and other documents that have been prepared and then summarize as appropriate. It is important that the WORK is consistent with and builds upon the CHSRA's previous work, and includes the mitigation and design practices included in the HSRA approval of the HST system, and that work efforts are not duplicated. The CHSRA's certified statewide Program EIR/EIS and the technical reports that support this document, as well as the CHSRA's certified Bay Area to Central Valley HST Program EIR/EIS and the technical studies that support this document are all available on the CHSRA's website (www.cahighspeedrail.ca.gov). In partnership with the Metropolitan Transportation Commission (MTC) new ridership and revenue forecasts were developed and

were used for the Bay Area to Central Valley HST Program EIR/EIS. The FIRM will not be responsible for developing HST ridership and revenue forecasts, this analysis will be provided by the PM to carry out the WORK.

Based on the review of existing studies and documents, and under the direction of the CHSRA staff in consultation with the FRA, the FIRM will collect any additional data needed to undertake the WORK. Information requirements may include:

- Demographic and land use data and plans
- Existing and future transit systems
- Roadway network
- Freight railroad track charts
- Existing and future travel patterns
- Base maps
- Aerial photos
- Other relevant information

The CHSRA's Bay Area to Central Valley HST Program EIR/EIS identifies the Caltrain Corridor (Shared Use) as the preferred alignment alternative between San Francisco and San Jose. As defined in this Program EIR/EIS document, the HST would utilize Caltrain right-of-way and share tracks with express Caltrain commuter rail services. The alignment between San Francisco and San Jose is assumed to have 4 tracks, with the two middle tracks being shared by Caltrain and HST and the outer tracks used by Caltrain. The HST could operate at maximum speeds of 100-125 mph along the Peninsula providing 30-minute express travel times between San Francisco and San Jose. Environmental impacts would be minimized since this alignment utilizes the existing Caltrain right-of-way. The alignment would increase connectivity and accessibility to San Francisco, the Peninsula, and SFO, the hub international airport for northern California. The HST system would provide a safer, more reliable, energy efficient intercity mode along the San Francisco Peninsula while improving the safety, reliability, and performance of the regional commuter service because of the fully grade separated tracks with fencing to prevent intrusion, additional tracks, and a state-of-the-art signaling and communications system. The potential HST station locations selected at the program level are: Transbay Transit Center (Downtown San Francisco Terminus), Millbrae (SFO), and Diridon Station (Downtown San Jose). The Program EIR/EIS also identifies continuing to investigate both Palo Alto and Redwood City as potential sites for a "Mid-Peninsula Station". The CHSRA will continue to investigate both sites and work with local agencies and the Caltrain JPB to determine whether a mid-peninsula station site should be recommended.

The Project Definition and Alternatives Analysis will include a segment-by-segment alignment description of the HST alternatives to be investigated in the Project EIR/EIS process(es). The FIRM will develop an alternatives analysis report that will help the CHSRA and FRA in determining which alternatives should be carried forward for preliminary engineering and environmental review and evaluation. Development of the alternative analysis will build upon the previously prepared CHSRA/FRA program EIR/EIS documents and will include conceptual level plans and profiles and technical data developed by the

FIRM. Public and agency review of the alternatives analysis will be utilized to help the CHSRA and FRA to determine which alternatives should be carried forward.

4. Preliminary Engineering

The FIRM is responsible for developing HST design concepts at a sufficient level of detail to develop accurate capital cost estimates, right-of-way requirements, construction staging, traffic and environmental impacts to satisfy CEQA and NEPA requirements. Project EIR/EIS studies will examine future needs and plans for developing the Caltrain Corridor to accommodate conventional freight, Caltrain commuter rail, and high-speed trains. Designs for ultimate Caltrain/HST infrastructure will be identified as well as incremental stages of improvement. The design concepts will include:

- Plan and Profile drawings of the alignment
- Typical sections
- Special structures and structural modifications
- Electric Traction Facilities and Catenary
- Right-of-way requirements
- Construction Needs and Methods
- Landscaping and amenities
- Station layouts (including parking)
- Renderings of proposed stations
- Locations and functional layouts of support facilities (maintenance, storage, substations, etc.)
- Utility relocation needs
- Bridge reconstructions
- Analysis of freight demands for the corridor
- Impacts of project changes to freight operations

Preliminary engineering at 15% design will be used to complete the project-level EIR/EIS document(s) and 15% design cost estimates. The FIRM will ultimately develop preliminary engineering (at least 30%) design drawings of the Regional Rail/HST alignments, stations and station sites, grade crossings, maintenance facilities, signal and electric power facilities, and bridges or other structures. Design drawings will be used to complete a 30% costs estimate. The FIRM will need to purchase and incorporate into the WORK the appropriate aerial mapping for this task. The FIRM will develop HST cost estimates, documenting all project components. Costs should be presented in current year. Unit costs for systems elements (signaling, communications, and electrification) and HST vehicles will be provided by the PM. HST engineering design criteria, train systems (signaling, communications, and electrification) engineering, operational analysis and costs will be the responsibility of the PM.

The FIRM will develop a staged construction plan for the project. This plan will identify operable project segments or elements of the HST infrastructure (such as grade separations) that could be constructed early and bring near term project benefits to existing rail freight and conventional passenger rail services.

5. Environmental Impact Analysis

This task requires the FIRM to conduct any technical studies necessary to evaluate and assess impacts of the HST Project Alternatives and No Project Alternative as part of the EIR/EIS process(es), addressing both alignments and proposed station locations. The FIRM will be required to follow project-level environmental methods prepared by the CHSRA. The FIRM will provide a scope of work for each technical study and impact topic required by CEQA and NEPA that include, but are not limited to:

- Traffic and Circulation
- Travel Conditions
- Air Quality
- Noise and Vibration
- Energy
- Electromagnetic Fields and Electromagnetic Interference
- Land Use and Planning, Communities and Neighborhoods, Property, and Environmental Justice
- Agricultural Lands
- Aesthetics and Visual Resources
- Public Utilities
- Hazardous Wastes and Materials
- Cultural and Paleontological Resources
- Geology and Soils
- Hydrology and Water Resources
- Biological Resources and Wetlands
- Section 4(f) and 6(f) Resources (Public Parks and Recreation, Waterfowl Resources, and Historic Sites)
- Cumulative and Secondary Impacts Evaluation
- Construction Impacts
- Economic Growth and Related Impacts
- Unavoidable Adverse Environmental Impacts

Technical reports should be prepared for each topic of environmental analysis and include a description of the existing environmental conditions (Affected Environment) that could be affected by the No Project and HST Alternatives. The FIRM should propose measures that will be used to define the study area. The various technical studies and corresponding impacts analyses will be incorporated into the Administrative Draft EIR/EIS document(s). As part of the Draft EIR/EIS document(s), the FIRM shall identify and describe in detail all appropriate mitigation measures required to mitigate adverse impacts related to the HST Alternative(s). The Work Plan should identify anticipated fieldwork needed as part of the site-specific environmental analyses and incorporate this into the project schedule.

A preferred HST Project Alternative will be identified as well as any incremental stages of improvement. The HST Project EIR/EIS document(s) will evaluate in detail the potential for incremental phased implementation leading to completion of the preferred HST Project Alternative. Site-specific environmental impacts will be addressed to enable the CHSRA to

reach decisions on the ultimate configuration of the Caltrain Corridor for all involved rail services as well as any incremental phases of development after the completion of environmental documents.

6. Station Area Development Planning

The FIRM shall perform an evaluation of transit-oriented development (TOD) opportunities within the corridor and develop station area plans. This investigation shall reflect the CHSRA's policies (see Chapter 6 of the Bay Area to Central Valley Program EIR/EIS) regarding station area development. The CHSRA has committed to encouraging the adoption of TOD measures and to promote value-capture at and around the locations of HST stations. The FIRM shall work closely with the local jurisdictions and public in developing Regional Rail/HST station area plans. All station area plans should reflect the values of the community, encourage public participation, and meet the CHSRA's objectives for increasing ridership and providing alternatives to the automobile.

The FIRM will work with local jurisdictions in which potential HST stations would be located to prepare station area plans and will facilitate adoption, amendment of City and County General Plans, and establishment of joint development agreements in the vicinity of HST stations. The FIRM will be responsible for producing station area development plans that incorporate illustrative site layouts and phasing plans which reflect local real estate market conditions. The FIRM will also encourage local governments and communities to use community planning processes to develop regional plans, and conforming amendments to general plans, which would focus development in existing communities and would provide for long-term protection of farmland, habitat, and open space.

7. Prepare Draft and Final Project-Level EIR/EIS Document(s)

The FIRM will prepare the Draft EIR/EIS document(s) and Final EIR/EIS document(s), including necessary administrative review versions. The site-specific EIR/EIS document(s) must satisfy all the requirements of CEQA and NEPA and shall follow CHSRA guidance for EIR/EIS format. The Work Plan should specifically identify how compliance with NEPA and CEQA will be achieved.

The FIRM will be responsible for undertaking all activities associated with the development, publishing and circulation of the EIR/EIS document(s) including: initiating the scoping process, preparing the Notice Intent (NOI) and the Notice of Preparation (NOP), creating an NOI/NOP mailing list, noticing and circulation of the NOI/NOP, developing the project Purpose and Need Statement, developing environmental methodologies and evaluation criteria, writing the EIR/EIS document(s), publishing the Notice of Availability, printing, distributing, and circulating the Draft EIR/EIS document(s), developing a summary of public comments, drafting responses to comments (including any additional environmental/engineering work), editing/refining/changing the EIR/EIS document(s) based on PM, CHSRA and FRA direction, printing, preparing and sending notices of availability, and distributing the Final EIR/EIS document(s). The FIRM shall also be responsible for identifying, maintaining (in electronic form and hard copy) and documenting all appropriate records, references, and resource documents/materials used for the preparation of the EIR/EIS document(s).

The FIRM will respond to three rounds of administrative review on both the Draft and Final EIR/EIS(s): 1) a first round of review by the PM, CHSRA and FRA, 2) a second round of review by cooperating and responsible agencies, and 3) final review by the PM, CHSRA, and FRA. Various drafts and administrative reviews will be necessary for certification and findings by the CHSRA and for clearance and issuance of a ROD by the FRA.

8. Certification of EIR/EIS Document(s) and Permitting

The FIRM will prepare other related environmental documents that are required as part of the certification of the Project EIR/EIS document(s), including Findings and a Statement of Overriding Considerations, the Record of Decision, Notice of Determination, and the Mitigation Monitoring and Reporting Plan.

Upon request by the CHSRA, the FIRM shall prepare applications for and process any and all needed permits from the U.S. Army Corps of Engineers, the U.S. Fish & Wildlife Service, the California Department of Fish and Game, the California Water Quality Control Board, and other regulatory agencies. The FIRM shall identify which permits will be necessary for construction of the project, prepare applications for the permits on behalf of the CHSRA and pay any required fees. The FIRM, under the direction of the PM and HSRA staff, shall act as the “CHSRA’s agent” meeting with and negotiating the conditions for the issuance of environmental permits by the regulatory agencies. Further monitoring of the permitting process may also be required.

9. Rights-of-way Preservation and Acquisition Services

For the portions of the HST line where a defined general alignment has been selected, the FIRM will conduct assessments to identify segments at risk of imminent development or other changes in use that could significantly increase implementation costs and difficulty. The FIRM will develop recommendations for protective advance acquisition consistent with state and federal requirements and will perform any necessary coordination with other federal, state and local agencies and assist the CHSRA in making acquisitions to the extent such acquisitions have been approved and authorized by the CHSRA and consistent with available funding. As the project-level document is approved and further acquisition is permitted, the CHSRA will have the FIRM conduct a similar review to prioritize the use of available acquisition funds and assist the CHSRA in making acquisitions as approved and authorized by the CHSRA and consistent with available funding. All services rendered and all acquisitions will conform with the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended.

As requested by CHSRA the FIRM will provide assistance to the CHSRA in reaching agreement on terms of access to shared rights-of-way with rail line owners and operators, shared capital and operating costs, types of improvement required to maintain existing operations while allowing high-speed train operations, and other critical matters such as liability indemnification, insurance requirements, and other operational matters. This work may include participating in right-of-way negotiations.

VI. MISCELLANEOUS

1. Modification or Withdrawal of Statement of Qualifications

Any SOQ received may be withdrawn or modified prior to the SOQ submittal date by written request to the CHSRA by the prime consultant.

2. Property Rights

SOQs received within the prescribed deadline become the property of the State and all rights to the contents therein become those of the State. All material developed and produced for the CHSRA under this contract shall belong exclusively to the CHSRA. If the FIRM should lose its ability to service the Contract with the CHSRA, the CHSRA shall retain the right to use said materials without further compensation to the FIRM.

3. DVBE Participation (3%)

The FIRM may be subject to the participation goals for disabled veteran business enterprises (DVBE) as set forth in PCC §10115, et seq. The participation goal is 3% for DVBE. Periodically updated DVBE resource information is available on the Office of Small Business Certification and Resources website located at www.pd.dgs.ca.gov/smbus. DVBE goals achieved are expressed as a total participation dollar amount claimed by a DVBE, and are identified on Standard Form 840 (Attachment 3) attached to the FIRM's SOQ.

3. Small Business Enterprise Participation

The CHSRA is also committed to supporting Small Business Enterprise (SBE) participation in state contracting and seeks to use SBEs wherever possible. Prime consultants are encouraged to provide subconsulting opportunities to SBE firms. Therefore, it is requested that FIRMS actively solicit certified SBEs for subconsulting opportunities for this project. The successful firm will be asked to list any subconsultants that are certified California SBEs. The Office of Small Business Certification Resources (OSBCR) at the Department of General Services (DGS) can assist in identifying certified SBE firms for solicitation purposes. The OSBCR can be reached by telephone at (916) 322-5060 or via their internet website at www.osmb.dgs.ca.gov.

4. MBE/WBE Participation (No Goals)

The State has established no goals for the participation of MBE/WBE for this contract (no federal funding is expected for this contract). However, California has a diverse mixture of cultures and interests; therefore, the proposer needs to be sensitive towards reaching and including these populations when developing their teams.

5. Confidentiality

Prior to board approval of rankings, all SOQs will be designated confidential. After board approval of rankings all SOQs will become public record and subject to the provisions of the Public Records Act. Contracts are considered awarded after they are fully executed by both parties and approved by the Department of General Services. Any language purporting to render all or portions of the SOQs confidential will be regarded as non effective and will be disregarded.

6. Amendments to Request for Qualifications

The CHSRA reserves the right to amend the RFQ Notice by addendum prior to the final date of SOQ submission.

7. Non-Commitment of State

This RFQ does not commit the CHSRA to award a contract, to pay any costs incurred in the preparation of an SOQ to this request, or to procure or contract for services or supplies. All products unused or developed in the execution of any contract resulting from this RFQ will remain in the public domain at the completion of the contract.

8. Americans with Disabilities Act

The FIRM shall assure the CHSRA that it will comply with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA (42 U.S.C. Section 12101 et seq.).

9. Nondiscrimination

The FIRM shall not unlawfully discriminate, harass or allow any harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age (over 40), marital status, and denial of family care leave. The FIRM shall ensure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. The FIRM shall comply with the provisions of the Fair Employment and Housing Act (Government Code, Section 12900 et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285.0 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code, Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations are incorporated into this RFQ by reference and made a part hereof as if set forth in full. The FIRM shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

The FIRM shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under this contract.

10. Conflict of Interest

The following laws apply to entities doing business with the State of California:

A. Consultant(s)

The prospective FIRM shall disclose any financial, business, or other relationship with the CHSRA, the High-Speed Rail Commission, the Business, Transportation and Housing Agency, or the California Transportation Commission that may have an impact upon the outcome of the contract. The prospective FIRM shall also list

current clients who may have a financial interest in the out come of the contract. The selected FIRM may be required to file a financial Disclosure Statement in accordance with the CHSRA's Conflict of Interest Code.

B. Current State Employees (PCC 10410):

- No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- No officer or employee shall contract on his or her own behalf as an independent FIRM with any state agency to provide goods or services.

If FIRM violates any provision of above paragraphs, such action by FIRM shall render this Agreement void (PCC 10420).

Members of boards or commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem (PCC 10430(e)).

C. Former State Employees (GC 87406)

- a. Government Code 87406 (d)(1) prohibits a former State officer or employee from entering into a contact with any State agency if,
 - He or she was a designated employee by the same State agency in a position in the same subject area(s) as the proposed contract within the 12 month period prior to his or her separation.
- b. Representation includes any formal or informal appearance, or oral or written communications to the CHSRA or to any of its officers or employees. This would include participation at presentations or interviews, attendance at scoping meetings, participation in negotiations and direct involvement in cost proposal and audit activities. See Government Code section 87406 subparagraph(d) subpart(1).
- c. The categories of former CHSRA employees to whom the prohibition applies are any one or more of the following:
 - A “Designated Employee” as defined in the Government Code Section 82019, to include any officer or employee whose position with the CHSRA:
 - i. Was exempt for the State Civil Service System.
 - ii. Involved the employee in the functions of:
 - Negotiating or signing any competitive awarded contract

- Decision making in conjunction with the competitive award process
 - Decision making on Emergency Force Account contracts awarded under Public Contract Code Sections 10122.
- d. Former CHSRA employees, included former retired annuitants, proposed in the submittal who meet the criteria above will not be allowed to participate as a proposed team member for this contract.
- e. Violation by FIRM(s) of any provisions found in the paragraphs above, shall render every contract or other transaction entered into void unless the violation is technical and non-substantive.

Information regarding conflict of interest as stated in above reference Government Codes may be viewed by visiting the web site: <http://www.leginfo.ca.gov/calaw.html>.

8. References

The CHSRA reserves the right to check references. Reference information provided in the SOQ found to be in error may be reflected as a reduction in your evaluation score.

IX. GENERAL CONTRACT PROCESS INFORMATION

A. Consultant Selection and Contract Negotiations

1. The FIRM will be selected by means of a dual selection process (evaluation of SOQs followed by an interview of those short-listed).
2. The criterion in Attachment 1 is the basis for the initial evaluation, scoring and ranking of FIRM's SOQs to establish a short-list of firms to be interviewed.
3. Those FIRMs evaluated by a selection committee, and judged to be the best qualified to undertake the services, based upon the combined scores and ranking of the SOQs, will be interviewed and again scored and ranked by the selection committee. The criterion in Attachment 2 is the basis for the evaluation, scoring and ranking interviewed.
4. The contract will be negotiated pursuant to Section 4528 of the California Government Code. A contract with fixed rates of compensation for specific persons will be negotiated with the top-ranked FIRM in accordance with GC §4528. If agreement cannot be reached with the top ranked FIRM, negotiations will be terminated and negotiations started with the next-ranked FIRM for the contract.
5. If the FIRM is a corporation, the FIRM must certify that the corporation is in good standing to do business in California. Pursuant to Revenue and Taxation Code 23101, "Doing business means actively engaging in any transaction for the purpose of financial or pecuniary gain or profit."

6. If the FIRM is selected for the contract and found to have an invalid corporate status with the California Secretary of State's Office, the contract will be voided unless the FIRM can provide validity of corporate status within five (5) working days of notifications of intent to cancel.
7. The FIRM finally selected must comply with GC §8355 in matters relating to providing a drug-free work place.
8. All work shall be done in accordance with State standards, policies, procedures, regulations and laws.
9. A sealed cost proposal will be required of each short-listed FIRM invited to participate in oral interviews. Cost proposals need to be submitted at the time of the interview. Details on the format will be provided to those FIRMs invited to interview at the time the short-list is published. Only the cost proposal of the proposed awardee will be opened. All unopened cost proposals will be returned at the conclusion of the award process.

B. Audit Requirement

Contracts for A&E services are subject to standard accounting practices. The CHSRA may require pre-, interim- and/or post-award financial and performance audits as necessary to ensure contract services are delivered within the agreed schedule and budget.

C. Notification of Award

All FIRMs that participate in this process will be notified of the final selection.

D. Business License

FIRMs are not required to obtain a business license until the time of contract signing.

Attachment 1
SOQ Initial Evaluation Criteria

Contract No: _____ FIRM: _____

Criteria	(a) Weight	(b) Score (0-10)	(a) x (b) Weighted Score
1. Professional excellence, demonstrated competence in the service to be provided, and specialized experience of the Prime and Subconsultants.	3.0		
2. Education and experience of the Project Manager and other key personnel to be assigned.	2.0		
3. Staffing capability, workload, and record of meeting schedules on similar projects, including an assessment of the firm's ability to handle additional work, in view of the firm's current workload.	2.0		
4. Nature, quality, and relevance of recently completed work.	2.0		
5. Feasibility of oversight, ability and willingness to respond to CHSRA's requirements, and accessibility to CHSRA Reviewers.	1.0		
		Total	

Comments (continue on reverse if necessary):

Signature of Evaluator: _____ Date: _____

Printed Name of Evaluator: _____

Attachment 2 SOQ Final Evaluation Criteria

Contract No: _____ FIRM: _____

Criteria	(a) Weight	(b) Score (0-10)	(a) x (b) Weighted Score
1. PROJECT TEAM <ul style="list-style-type: none"> • Qualifications and relevant individual experience • Unique qualification of key personnel • Time commitment of key members • Organization Chart 	2.0		
2. FIRM'S CAPABILITIES <ul style="list-style-type: none"> • Demonstrated capability on similar or related projects • Management and scheduling abilities • Other on-going projects and priorities • Quality and cost control • Staff availability 	3.0		
3. PROJECT UNDERSTANDING AND APPROACH <ul style="list-style-type: none"> • Demonstrated knowledge of the work required • Explanation of the project • Knowledge of high-speed train and commuter rail infrastructure design and environmental processes • Innovative approaches and internal measures for timely completion of project 	3.0		
4. FEASIBILITY OF OVERSIGHT <ul style="list-style-type: none"> • Ability and willingness to respond to CHSRA requirements • Accessibility to CHSRA reviewers 	1.0		
5. REFERENCES* <ul style="list-style-type: none"> • Record of producing a quality product on similar projects on time and within budget 	1.0		
<small>*All panel members must enter zero (0) for all interviewed FIRMs if time did not allow for reference checks or if the reference checks were not completed on <u>all</u> the FIRMs.</small>		Total	

Comments (continue on reverse if necessary):

Signature of Evaluator: _____

Date: _____

Printed Name of Evaluator: _____

Attachment 3
Disabled Veterans Business Enterprise (DVBE)
Standard Form 840

STATE OF CALIFORNIA – GENERAL SERVICES PROCUREMENT DIVISION

DOCUMENTATION OF DISABLED VETERAN BUSINESS ENTERPRISE PROGRAM REQUIREMENTS

STD. 840 (REV. 4-1-2003)

Designation Of Option Check the appropriate box(es) to indicate the option(s) with which you choose to comply, complete the applicable sections and attach the required supporting documentation. You are advised to read all instructions carefully prior to completing this form. Remember that only California certified DVBEs who can provide related goods and/or services may be used to satisfy these program solicitation requirements.

- ☐ **OPTION A – I commit to meeting the full DVBE Agreement participation requirement.** Complete STD. 840, Section A.
- ☐ **OPTION B – I performed and documented a Good Faith Effort (GFE) in an attempt to obtain DVBE participation.** Complete STD. 840, Section A (for GFE Steps 4 & 5) and STD. 840 (REVERSE), Section B (for GFE Steps 1–3).
- ☐ **OPTION C – I submit a copy of my firm's "Notice of Approved DVBE Business Utilization Plan."**

A. Full information must be provided.

For Agreement participation commitment, at least one DVBE must be listed. DVBEs must perform a commercially useful function. List the specific goods and/or services with the dollar and/or percentage value(s) that the DVBE(s) commit(s) to provide and the DVBE's tier (prime contractor = 0, subcontractor to prime contractor = 1, subcontractor to Tier 1 subcontractor = 2, etc.). If both the estimated dollar amount and percentage are listed, the higher value supercedes. Attach additional pages to list all other DVBE subcontractors/suppliers (you may use STD. 840A). During contract performance, all requests for substituting named DVBEs must be made in accordance with the provisions of California Code of Regulations, Title 2, Section 1896.64(c).

For Good Faith Effort (GFE), use this section to document your first completed contacts with (Step 4), and consideration of (Step 5), relevant DVBEs. Business reasons for non-selection must be documented. Attach additional pages to list all other DVBE contacts (you may use STD. 840A). Copies of all written invitations and delivery confirmations must also be attached and submitted with the bid/proposal.

BOTH SECTIONS MUST BE COMPLETED FOR GOOD FAITH EFFORT	AT LEAST ONE DVBE MUST BE NAMED FOR PARTICIPATION	Date Contacted / /		DVBE Company Name (If you are the Prime and a DVBE enter your name, otherwise enter the solicited subcontractor.)				
		DVBE Contact Name & Reference #			Telephone Number () - ext.		Fax Number () -	E-mail (if available)
		Street Address, City, State, and Zip Code						
		OR	<input type="checkbox"/> Yes, I am, or I will subcontract with, the listed DVBE to provide the following goods and/or services:					
			Specific Goods and/or Services			Estimated \$ and/or % \$ %		Tier
			<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:					
		Date Contacted / /		DVBE Company Name				
		DVBE Contact Name & Reference #			Telephone Number () - ext.		Fax Number () -	E-mail (if available)
		Street Address, City, State, and Zip Code						
OR	<input type="checkbox"/> Yes, I am, or I will subcontract with, the listed DVBE to provide the following goods and/or services:							
	Specific Goods and/or Services			Estimated \$ and/or % \$ %		Tier		
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:							

ATTACH ADDITIONAL PAGES (OR USE STD. 840A) TO LIST ALL OTHER DVBE CONTACTS

Go to Page 2, Section B to continue Good Faith Effort documentation ➡

STATE OF CALIFORNIA – GENERAL SERVICES PROCUREMENT DIVISION

ADDITIONAL DISABLED VETERAN BUSINESS ENTERPRISE CONTACTS

STD. 840A (EST. 4-1-2003)

B Documentation of Good Faith Effort Steps 1, 2, and 3—Remember to carefully read all instructions prior to completing this form. Please refer to the Resources & Information page for detailed contact information and a sample advertisement format.

STEP 1. Contact the Awarding Department (the contracting official, unless another contact is specified) to identify potential DVBE subcontractors/suppliers, and document this contact (**optional**).

Date Contacted / /	Contact Name	Telephone Number () - ext.
Describe Result		

STEP 2. Contact all of the following and document your contacts as required: Other state and federal agencies and local organizations to identify potential DVBE subcontractors/suppliers. **Attach screen print(s) of Web Results for verification.**

Other State Agency – Procurement Division, Office of Small Business and DVBE Certification (Certification Office)

PHONE CONTACT OR ONLINE SEARCH	Date / /	Telephone Number (916) 322-5060 (916) 375-4940	Contact Name	<input type="checkbox"/> I contacted the Certification Office for a list of California certified DVBEs.
	Date / /	Internet Address http://www.pd.dgs.ca.gov/smbus		<input type="checkbox"/> I searched the Certification Office's online database to identify California certified DVBEs.
Describe Result				

Federal Agency – U.S. Small Business Administration (SBA) online database

Date / /	Internet Address http://www.ccr.gov/	<input type="checkbox"/> I searched the federal online database for California DVBEs.
Describe Result		

Local DVBE Organizations – Contact at least one local DVBE organization – refer to the DVBE Resource Packet for a list of acceptable contacts. (<http://www.pd.dgs.ca.gov/smbus> – select “DVBE Resource Packet”)

Date / /	Organization Name	Contact Name	Telephone Number and/or Internet Address () - http://www.
Describe Result			

Date / /	Organization Name	Contact Name	Telephone Number and/or Internet Address () - http://www.
Describe Result			

STEP 3. Publish advertisements: At least two (2) advertisements: One (1) ad in an accepted trade paper; and one (1) ad in an accepted DVBE focus paper (please see the DVBE Resource Packet for a list of all accepted publications); unless the paper is dual purpose (fulfilling both trade and focus requirements), in which case one (1) ad is acceptable. **Document this step as required and remember to attach a copy of your advertisement(s).**

Focus Paper Name (list full name)	Contact Name	Telephone Number () -
Address		Date Ad Published / /
Trade and Focus Paper Name (list full name)	Contact Name	Telephone Number () -
Address		Date Ad Published / /

☐ I certify the ad was placed to reach both trade and focus audiences through this one publication.

Trade and Focus Paper Name (list full name)	Contact Name	Telephone Number () -
Address		Date Ad Published / /

STATE OF CALIFORNIA – GENERAL SERVICES PROCUREMENT DIVISION

ADDITIONAL DISABLED VETERAN BUSINESS ENTERPRISE CONTACTS

STD. 840A (EST. 4-1-2003)

This document may be used as a continuation from Section A, STD. 840 (REV. 4-1-2003)

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

STATE OF CALIFORNIA – GENERAL SERVICES PROCUREMENT DIVISION

ADDITIONAL DISABLED VETERAN BUSINESS ENTERPRISE CONTACTS

STD. 840A (EST. 4-1-2003)

This document may be used as a continuation from Section A, STD. 840 (REV. 4-1-2003)

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

Date Contacted / /	DVBE Company Name		
DVBE Contact Name & Reference #	Telephone Number () - ext.	Fax Number () -	E-mail (if available)
Street Address, City, State, and Zip Code			

OR	<input type="checkbox"/> Yes, I will subcontract with the listed DVBE to provide the following goods and/or services:		
	Specific Goods and/or Services	Estimated \$ and/or % \$ %	Tier
	<input type="checkbox"/> No, I am unable to subcontract with the DVBE for the following business reasons:		

DVBE Program Requirements Supplier Checklist (Rev. 4-1-2003)

Please do not submit this checklist with your bid. It is provided for your use only. Checking every box of your elected compliance option does not guarantee that your bid will be evaluated compliant.

☐ **OPTION A: COMMITMENT TO DVBE AGREEMENT PARTICIPATION**

- ☐ STD. 840 included with bid
 - ☐ DVBE Written Agreement(s)
 - ☐ Designated the Commitment Option – Checked the first box
 - ☐ Listed at least one California certified DVBE subcontractor
 - ☐ Checked the box(es) for “Yes...”
 - ☐ Listed specific goods and/or services DVBE(s) agrees to provide
 - ☐ Proposed DVBE Agreement performance is a “commercially useful function” relevant to the Agreement
 - ☐ Listed the estimated dollar amount and/or percentage of Agreement for the DVBE’s participation
 - ☐ Proposed DVBE participation meets the 3% requirement (unless a different percentage is specified)
 - ☐ Attached a copy of the DVBE’s certification letter from the Department of General Services
-

☐ **OPTION B: GOOD FAITH EFFORT (GFE)**

- ☐ STD. 840 included with bid
 - ☐ Designated the GFE Option – checked the second box
 - ☐ (Step 4) Listed all DVBEs contacted and invited to perform on the proposed Agreement
 - ☐ Confirmed that listed DVBEs are California certified and verified certification expiration date
 - ☐ Attached copies of the invitations sent to the listed DVBEs
 - ☐ Invitations included the required contact information
 - ☐ Attached copies of the delivery confirmations for invitations to DVBEs (e.g. mail receipts, fax confirmations, etc.)
 - ☐ (Step 5) Checked the “No” boxes and listed the business reasons for non-selection of DVBEs contacted
 - ☐ (Step 1) Contacted the Awarding Department and listed contact and results
 - ☐ (Step 2) Contacted Other State agency (Office of Small Business and DVBE Certification) and listed the contact and results
 - ☐ (Step 2) Searched the Federal U.S. Small Business Administration (SBA) using the Central Contractor Registration (CCR) on-line database and noted the results
 - ☐ (Step 2) Contacted Local DVBE Organization(s) and listed the contact and results
 - ☐ (Step 3) Advertised – IF NOT WAIVED
 - Listed full information for the advertisement(s) and publication(s)
 - At least 2 ads in one trade and in one DVBE focus publication; **OR** 1 ad in one dual-purpose publication
 - Attached a copy of the advertisement(s) and affidavit(s) of publication
 - The advertisement(s) were published at least 14 days prior to the bid date
 - The advertisement(s) included my required contact information
-

☐ **OPTION C: BUSINESS UTILIZATION PLAN (BUP)**

- ☐ Prior to the bid due date – Submitted a BUP to DGS-PD and received approval
 - ☐ STD. 840 included with bid
 - ☐ Designated the BUP Option – Checked the third box
 - ☐ Attached a copy of the BUP Approval letter from DGS-PD
-